

Chapter: Community Grants	<b>Effective Date: 03/01/18</b>
Subchapter: Grant Compliance	Page: 1 of 3
Division: Probation & Community Services	Replaces: New Procedure
<b>Title/Rule: Grant Monitoring</b>	
Implements: General Appropriations Act, Article V	

(a) Standard

Grant monitoring is a process that assesses all TJJD grant funded programs and activities by juvenile probation departments (JPDs) for allowable expenditures, the quality of internal controls, program fidelity, compliance with grant contract provisions and compliance with applicable laws and regulations.

(b) Purpose

To outline the processes for grant monitoring.

(c) Procedure

- (1) All grant monitoring is conducted in accordance with procedures set forth in PCS.01.02.01 – Compliance Methodology.
- (2) Each grant monitoring event may be announced or unannounced, at TJJDs discretion, and may be conducted either by desk review or during site visits.
- (3) Prior to a grant monitoring event, the grant monitor will:
  - (A) Define the type of monitoring and period to be monitored.
  - (B) Determine the monitoring sample size and distribution of the sample across all monitored grants.
  - (C) Identify the monitoring standards to be used.
  - (D) Seek any necessary approvals to schedule and complete the monitoring.
  - (E) Schedule an announced monitoring event by:
    - (i) Contacting the Chief Juvenile Probation Officer (CJPO) to coordinate the date and time of the review.
    - (ii) Sending a Grant Monitoring Notice (PCS-006) to the JPD by email to the department's address in TJJD's global address list at least fifteen (15) calendar days prior to the review. The confirmation letter will include:
      - CJPO, Fiscal Officer, and Juvenile Board Chair contact information from TJJD's Juvenile Probation Directory (<http://www.tjjd.texas.gov/publications/other/searchjuvprobdirectory.aspx>);
      - date and time of the initial monitoring interview;
      - period to be monitored;
      - grants to be monitored;
      - expected duration of the review;
      - a copy of any pre-audit questionnaires (see PCS-009); and
      - a copy of the Monitoring Preparation Checklist (PCS-008).
  - (F) Gather information to be reviewed prior to the monitoring event as defined in the Grant Monitoring Workbook (PCS-009) or Special Focus Monitoring Report (PCS-010).

- (G) Provide a list of the selected sample names for program file reviews to the department two business days prior to the start of the review.
- (4) During a grant monitoring event, the grant monitor will:
- (A) Conduct an entrance meeting with the CJPO or designee and other JPD or county personnel, as appropriate, to organize the monitoring.
  - (B) Use the web-based randomizer tool (<https://www.randomizer.org/>) to determine the individual samples to be reviewed for both fiscal and internal control monitoring and review all corresponding documentation.
  - (C) Request and review appropriate written procedures to determine fiscal processes, internal controls and programmatic structures are in place.
  - (D) Conduct interviews with appropriate staff to determine knowledge of fiscal processes, internal controls, and programmatic structures related to the monitored grant(s).
  - (E) Complete visual monitoring of internal control processes and programmatic activities.
  - (F) Complete all monitoring steps and documentation as defined in the Grant Monitoring Workbook (PCS-009) or Special Focus Monitoring Report (PCS-010).
  - (G) Determine compliance of monitored standards as defined in the Compliance Monitoring Enforcement Tracking System (COMETS) or Special Focus Monitoring Report (PCS-010).
  - (H) Complete a draft COMETS report or Special Focus Monitoring Report (PCS-010) documenting the monitoring findings.
  - (I) Complete an exit meeting with the CJPO or designee and other JPD or county personnel, as appropriate, to discuss the results of the monitoring and review the draft report created in (c)(4)(H).
- (5) After a grant monitoring event, the grant monitor will:
- (A) Complete and submit the final COMETS report or Special Focus Monitoring Report (PCS-010) to the CJPO and Juvenile Board Chair within 10 business days.
  - (B) Ensure the JPD provides a response to the final report within 10 days of receipt, if necessary.
  - (C) Review the JPDs response to the final report and:
    - (i) Approve the JPDs response and close the report if all standards were in compliance.
    - (ii) Review the JPDs response for standards that were found to be out of compliance and approve or work with the JPD to improve proposed plans of correction.
    - (iii) In cases where the JPD disputes the findings, follow the TJJD dispute resolution procedure.
  - (D) Review implementation of the plans of correction and:
    - (i) Approve documentation provided by the JPD demonstrating that the plans of correction are effective in resolving the cited non-compliance, or
    - (ii) Conduct a follow-up desk review or site visit to determine that the plans of correction are effective in resolving the cited non-compliance.
  - (E) If the plans of correction are not effective in resolving the cited non-compliance within 90 days of the estimated completion date, refer the case to the County Grant Manager for further action.
  - (F) Once all plans of correction have been verified as implemented and effective in resolving the cited non-compliance, document completion of the monitoring and close the final report.

(G) File the final monitoring report in two sections:

- (i) The electronic section will contain digital copies of the:
    - Grant Monitoring Notice (PCS-007), if applicable;
    - Monitoring Preparation Checklist (PCS-008), if applicable;
    - Sent email providing the Grant Monitoring Notice to the JPD;
    - Grant Monitoring Workbook (PCS-009);
    - Draft COMETS or Special Monitoring Report (PCS-010);
    - Final COMETS Report or Special Monitoring Report (PCS-010);
    - Any correspondence with the JPD regarding the monitoring; and
    - Electronically submitted documents provided to the TJJD demonstrating implementation of correction and subsequent compliance with standards.
  - (ii) The hard copy section will contain paper copies of the:
    - Documentation of non-compliant samples or methods discovered during the monitoring;
    - Documents physically submitted to TJJD demonstrating implementation of plans of correction and subsequent compliance with standards; and
    - Other documents deemed too large for electronic storage.
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